

10 / 076,540 PPO-892



PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau

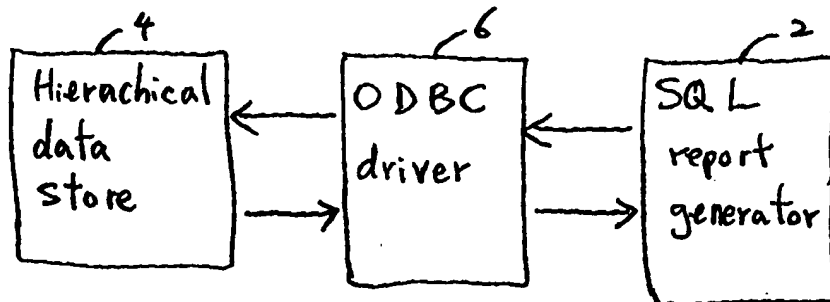
INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification <sup>6</sup> : <b>G06F 17/30</b></p>	<p><b>A1</b></p>	<p>(11) International Publication Number: <b>WO 00/23917</b> (43) International Publication Date: <b>27 April 2000 (27.04.00)</b></p>
<p>(21) International Application Number: <b>PCT/US99/23876</b> (22) International Filing Date: <b>15 October 1999 (15.10.99)</b> (30) Priority Data: <b>60/104,682 16 October 1998 (16.10.98) US</b> (71) Applicant (for all designated States except US): <b>COMPUTER ASSOCIATES THINK, INC. [US/US]; 1 Corporate Associate Plaza, Islandia, NY 11749 (US).</b> (72) Inventors; and (75) Inventors/Applicants (for US only): <b>DEFFLER, Tad [US/US]; 457 Rockaway Street, Boonton, NJ 07005 (US). BARI, Arkady [-/US]; Holland, PA (US).</b> (74) Agent: <b>AHN, Harry, K.; Baker &amp; McKenzie, 805 Third Avenue, New York, NY 10022 (US).</b></p>		<p>(81) Designated States: <b>AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GE, GH, GM, HU, ID, IL, IS, JP, KE, KG, KP, KR, KZ, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).</b>  <b>Published</b> <i>With international search report.</i></p>

(54) Title: ACCESSING A HIERARCHICAL DATA STORE THROUGH AN SQL INPUT

(57) Abstract

An Open DataBase Connectivity (ODBC) driver (6) that allows access of data stored in a hierarchical data store (4) through an SQL input query. Based on the SQL input, the driver transforms a hierarchical data store (4) into relational database tables. Preferably, the tables hold pointers that point to the actual data stored in the hierarchical data store (4).



**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece			TR	Turkey
BG	Bulgaria	HU	Hungary	ML	Mali	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MN	Mongolia	UA	Ukraine
BR	Brazil	IL	Israel	MR	Mauritania	UG	Uganda
BY	Belarus	IS	Iceland	MW	Malawi	US	United States of America
CA	Canada	IT	Italy	MX	Mexico	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NE	Niger	VN	Viet Nam
CG	Congo	KE	Kenya	NL	Netherlands	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NO	Norway	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	NZ	New Zealand		
CM	Cameroon		Republic of Korea	PL	Poland		
CN	China	KR	Republic of Korea	PT	Portugal		
CU	Cuba	KZ	Kazakstan	RO	Romania		
CZ	Czech Republic	LC	Saint Lucia	RU	Russian Federation		
DE	Germany	LI	Liechtenstein	SD	Sudan		
DK	Denmark	LK	Sri Lanka	SE	Sweden		
EE	Estonia	LR	Liberia	SG	Singapore		

## ACCESSING A HIERARCHICAL DATA STORE THROUGH AN SQL INPUT

**Cross-reference to Related Applications**

5 The present application claims benefit of the filing date of U.S. Provisional  
Application No. 60/104,682 entitled MODELING TOOL SYSTEMS AND  
METHODS, filed on October 16, 1998, incorporated by reference herein in its entirety.

The present application is related to a co-pending U.S. Patent Application No.  
\_\_\_\_\_ (Atty. Docket #22074661-25535) entitled APPARATUS AND METHOD FOR  
MODELING TOOLS, being concurrently filed on the same day, which is incorporated  
10 by reference herein in its entirety.

The present application is related to a co-pending U.S. Patent Application No.  
\_\_\_\_\_ (Attorney Docket #22074661-25532) entitled METHOD FOR IMPACT  
ANALYSIS OF A MODEL, being concurrently filed on the same day, which is  
incorporated by reference herein in its entirety.

15 The present application is related to co-pending U.S. Patent Application No.  
\_\_\_\_\_ (Attorney Docket #22074661-25531) entitled METHOD FOR DETERMINING  
DIFFERENCES BETWEEN TWO OR MORE MODELS, being concurrently filed on  
the same day, which is incorporated by reference herein in its entirety.

The present application is related to co-pending U.S. Patent Application No.  
20 \_\_\_\_\_ (Attorney Docket #22074661-25533) entitled METHOD AND SYSTEM FOR  
AN EXTENSIBLE MACRO LANGUAGE, being concurrently filed on the same day,  
which is incorporated by reference herein in its entirety.

**Field of the Invention**

25 The present invention relates to a database management system, and in  
particular to an Application Programming Interface (API) that allows application  
programs access to various database management systems.

**Background Information**

Open DataBase Connectivity (ODBC) is an Application Programming Interface  
(API) that provides a common interface for accessing various structure query language  
30 (SQL) based database management systems. Most vendors have added an ODBC  
interface to their relational databases. One major disadvantage of the conventional

ODBC is that it was designed to access relational database management systems that use standard SQL language in their queries and its use outside the relational databases has met with significant problems because SQL assumes the relational nature of the database.

- 5           Therefore it is desirable to provide a system and method for providing an ODBC interface or driver that allow access to non-relational data store such as a hierarchical object/property model.

#### **Summary of the Invention**

- 10           The present invention provides a driver that allows access of data stored in a hierarchical data store through an SQL input query. Based on the SQL input, the driver transforms a hierarchical data store into relational database tables. Preferably, the tables hold pointers that point to the actual data stored in the hierarchical data store. Then the SQL input is executed using the transformed tables.

#### **Brief Description of the Drawings**

- 15           Figure 1 is a block diagram showing an ODBC driver interfaced between an SQL report generator and a hierarchical data store according to the present invention.
- Figure 2 is a flow chart of the ODBC driver according to the present invention.
- Figure 3 illustrates a representation of a hierarchical data store and that of an equivalent relational database.

#### **Detailed Description of the Invention**

- 20           An hierarchical data store is represented as a graph of objects and properties. Objects may be owned by and conceptually aggregated into other objects. Objects may hold references to other objects via reference properties. Properties are owned by and aggregated into objects. FIG. 3 includes a representation of such an hierarchical data store and that of an equivalent relational database.
- 25           The hierarchical data store in FIG. 3 is a model of customers and their order information. The data store includes an object or a group of objects called "Customer" each having a unique internal identification number, "int\_id". The "Customer" object has three properties: one scalar property and two vector properties. The one scalar

- 30           property is of type "Name" which can hold only one value by definition. The first vector property is of type "Phone\_number" which may hold many values by definition. The second vector property is of type "Order\_ref" which may also hold many values.

Each value of "Order\_ref" is a pointer which references another object called "Order". The "Order" object has a property of type "DateOrdered" which stores the date of a particular order that has been placed. The equivalent data store in a relational database can be represented as three separate tables as shown on the right side of FIG. 3. A

5 "Customer" table has two columns named "Id" and "Name", an "Order" table has three columns named "Order\_id", "DateOrdered" and "Cust", and a "Phone" table has three columns named "Cust", "Seq" and "Phone\_number". The three tables are linked to each other through "Id" of Customer, "Cust" of Phone and "Cust" of Order which have identical values.

10 FIG. 1 is a block diagram showing an ODBC driver 6 interfaced between an SQL report generator 2 and a hierarchical data store 4. As discussed above, a conventional ODBC is designed to access relational databases using standard SQL language queries. The ODBC driver 6 of the present invention allows standard SQL language queries from an SQL report generator 2 to be used against a standard  
15 object/property model of information such as a hierarchical data store 4 according to the steps of FIG. 2. In step 10, the driver 6 receives the SQL input from the generator 2. In step 12, the driver 6 identifies object classes and their properties to be processed based on the received SQL input. In step 14, the hierarchical data store 4 is transformed into relational database tables with various columns such that the hierarchical data store 4  
20 appears to be a relational database to the SQL report generator 2. In a preferred embodiment, step 14 involves the following manipulations such that the hierarchically stored database is transformed into relational database tables:

1. each class of object is transformed into a table. Each table of this type has two pseudocolumns: an "Id" that contains the unique identifier of the instance and is the  
25 primary key, and an "Owner" that contains a foreign key reference back to the owning object;

2. each non-reference scalar property of an object becomes a column in the object's class table; and

3. each non-reference vector property is transformed into a table. Each table of  
30 this type has two pseudocolumns: a "Sequence" column that contains a sequence value for each element of the vector and is part of the primary key for the table, and an "Owner" column that contains a foreign key back to the owning object and is part of the

primary key; and

4. each reference property, both scalar and vector, may be used to calculate a foreign key relationship from the referenced object to the object owning the reference property.

5       When the necessary tables and columns are created/transformed, they preferably have pointers that point to the actual data residing in the hierarchical data store, and do not store the data themselves. The query contained in the SQL input is then executed in step 16 on the transformed tables. In step 18, the result of the execution is then passed to the report generator 2 that transmitted the SQL input.

10       A more detailed explanation of the steps in FIG. 2 will be provided below with reference to a couple of example SQL inputs. As one example, assume that the ODBC driver 6 receives the following SQL input query transmitted from the SQL report generator 2:

15       Select DateOrdered from Order a, Customer b where a.Cust =  
b.Id and b.Name = "Doe".

20       The above SQL input means that the generator would like to receive DateOrdered for all orders that "Doe" has placed. In relational terms, the way the Customer and the Order tables are connected or joined is that the value in the "Cust" column of the Order table should match the value in the Id column of the Customer table. The "Id" is the primary key for the Customer table and "Cust" is a foreign key of the Order table. As can be appreciated by persons of ordinary skill in the art, the hierarchical data store in FIG. 3 is not set up in a form that is readily usable by a conventional ODBC interface. This is one of the problems that is solved by the ODBC driver 6 according to the present invention.

25       The ODBC driver 6 analyzes the received SQL input and identifies the object classes that need to be processed. The ODBC driver 6 then transforms each object class into a table. In other words, a database table is created for each identified object class because object classes map to tables. In the example above, there are only two objects, "Customer" and "Order". Accordingly, two tables named "Customer" and  
30       "Order" are created. As part of the transformation process, the columns for the tables are created partly by analyzing what columns are being referenced in the received SQL language and by analyzing the properties of the object classes since columns map to the

properties. In addition, the internal identification number "int\_id" is mapped to a column of the corresponding table. As a result of the transform, the ODBC driver creates a "Customer" table with "Id" and "Name" columns, and an "Order" table with "Order\_id", "DateOrdered" and "Cust" columns as shown in FIG. 3. The "int\_id" and "Name" of the Customer object map to "Id" and "Name" columns of the "Customer" table, and the "int\_id" and "DateOrdered" of the Order object map to "Order\_id", "DateOrdered" columns of the "Order" table.

At this point, the only column that we need to synthesize is the "Cust" column of the Order table. However, the customer property in the hierarchical data store does not exist in the "Order" object. In other words, there's no property in the Order object pointing back to the "Cust" ("int\_id") of the Customer object. In fact, it's the inverse of the relational database because it's the Customer object that points to the Order object. This is a difference in the topologies between a relational database and an object/property model such as the hierarchical data store.

In this case, it is recognized that the "Cust" column is a foreign key in the relational database. The foreign key concept is similar to a reference property in the hierarchical data store such as the "Order\_ref" property of the "Customer" object. Recognizing that the query requires a foreign key backwards, the "Order\_ref" property of the "Customer" object is read, the inverse relationship is synthesized, and the "Cust" column is then synthesized or created using the "int\_id" of the Customer object.

With the necessary tables and columns fully built, the tables preferably store pointers that point to the actual data residing in the hierarchical data store, and do not store the data themselves. Alternatively, actual data may be stored in the tables.

In a second example of an SQL language input, assume that the ODBC driver 6 receives the following:

Select phone\_number from Customer a, Phone b where a.Id = b.Cust and a.Name = "Sears".

In this example, a different transform occurs because it references a vector property "phone\_number". As discussed above, each non-reference vector property is transformed into a table. The property itself maps to one column named "phone\_number". Two more columns are synthesized. One column named "Cust" is the id ("int\_id") of the object ("Customer") that owned the "phone\_number" and a

second column named "seq" is an arbitrary increasing number so that different phone numbers for the same object can be differentiated.

As in the first example, once the necessary tables and columns are fully built, the tables preferably store pointers that point to the actual data residing in the hierarchical data store. The SQL input is then executed using the transformed tables. The data matching the selection criteria of the SQL input are selected from the hierarchical data store pointed to by the pointers stored in the transformed tables and passed to the report generator 2. Again, actual data may be stored in the tables.

From the foregoing, it will be appreciated that, although specific embodiments of the invention have been described herein for purposes of illustration, various modifications may be made without deviating from the spirit and scope of the invention.



What is claimed is:

1. A method of accessing data stored in a hierarchical data store by using an SQL input, comprising the steps of:
  - receiving an SQL input;
  - 5 transforming a hierarchical data store into relational database tables based on the received SQL input; and
  - executing the SQL input using the transformed tables.

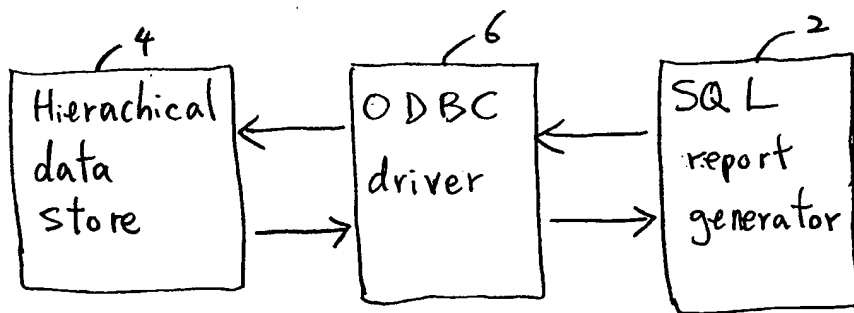


FIG. 1

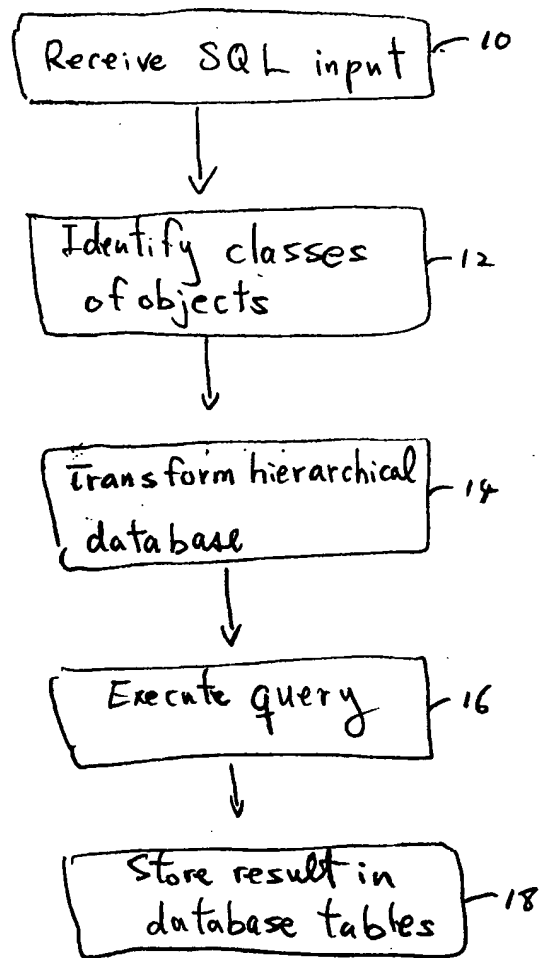


FIG. 2

# Hierarchical data store

# Relational database

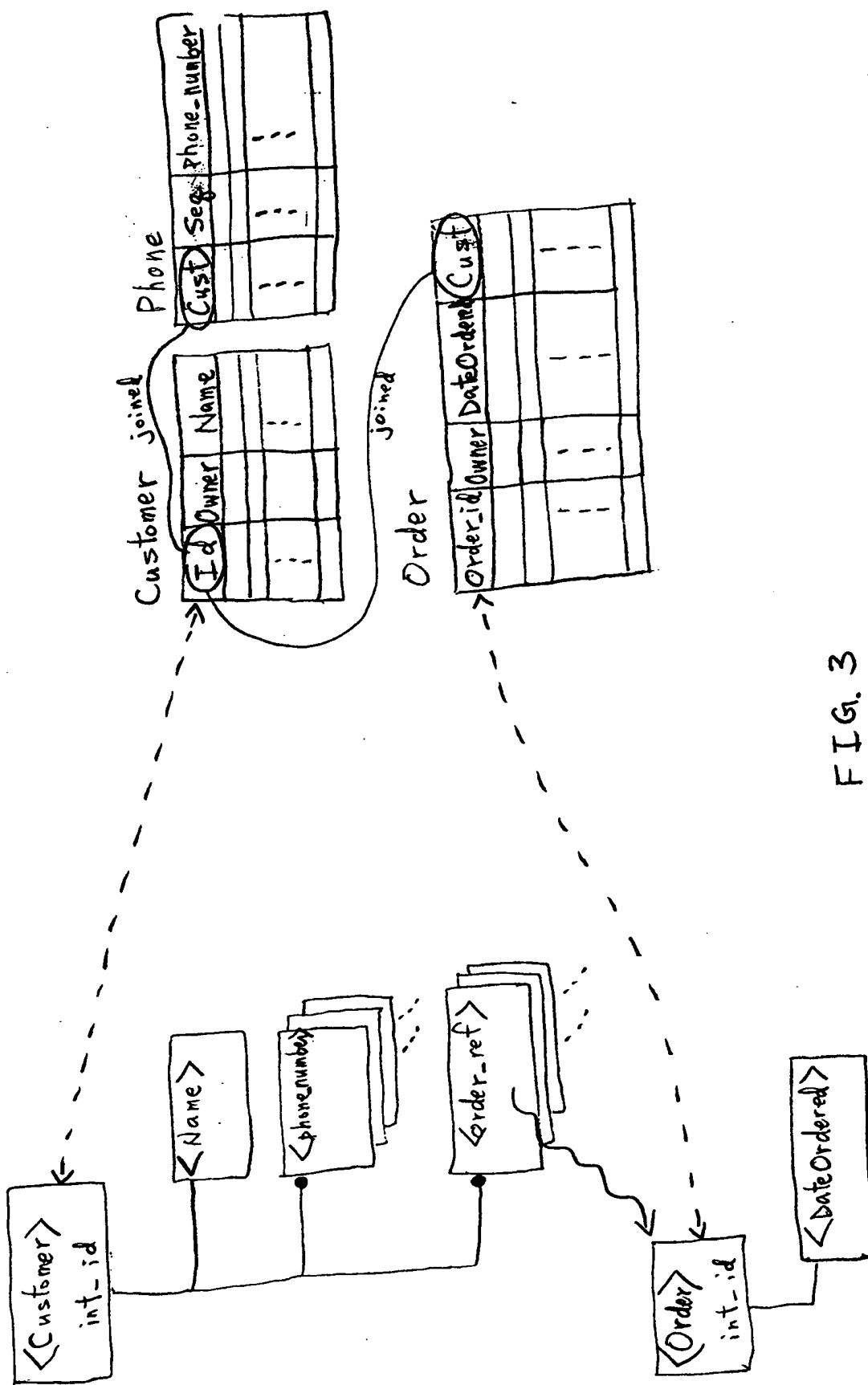


FIG. 3

## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US99/23876

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(6) : G06F 17/30

US CL : 707/1, 2, 3, 205; 395/611

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 707/1, 2, 3, 205; 395/611

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

WEST

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 5,802,511 A (KOUCHI et al) 01 September 1998, col. 7, lines 14-67 and col. 8, lines 1-8.	1
Y	US 5,764,978 A (MASUMOTO) 09 June 1998, col. 7, lines 26-67, col. 8, lines 1-13, col. 9, lines 33-67, col. 10, lines 1-67, col. 11, lines 1-67, and col.12, lines 1-13.	1
Y	US 5,822,750 A (JOU et al) 13 October 1998, col. 1, lines 30-47, col. 2, lines 23-67, col. 3, lines 1-67, col. 4, lines 1-67, and col. 18, lines 9-56.	1
Y	US 5,794,229 A (FRENCH et al) 11 August 1998, col. 3, lines 14-37 and col. 7, lines 7-67.	1



Further documents are listed in the continuation of Box C.



See patent family annex.

* Special categories of cited documents:	*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
*A* document defining the general state of the art which is not considered to be of particular relevance	*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
*E* earlier document published on or after the international filing date	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	*G* document member of the same patent family
*O* document referring to an oral disclosure, use, exhibition or other means	
*P* document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

28 JANUARY 2000

Date of mailing of the international search report

09 FEB 2000

Name and mailing address of the ISA/US  
Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231

Facsimile No. (703) 305-3230

Authorized officer

Hosain Alam

Telephone No. (703) 308-6662